

## IN THE UNITED STATES DESIGNATED OFFICE

|                      |   |
|----------------------|---|
| Applicants           | Neil A. Williams, Timothy R. Hirst, and John Bienenstock  |
| Serial No.           | Filing Date: 10 July 2000                                 |
| Title of Application | Agent for Treating Allergic or Hypersensitivity Condition |

Commissioner of Patents  
and Trademarks  
Washington, DC 20231

BOX PCT, ATTENTION DO/US

**Transmittal Letter to the U.S. Designated Office (DO/US)**  
**Entry into the U.S. National Stage Under Chapter II**

Applicant herewith submits to the United States Designated Office (DO/US) the below listed items under 35 U.S.C. 371. The below-checked items are being transmitted by 30 months and a proper demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date, as evidenced by the documents cited below and enclosed herewith.

This is an express request to immediately begin national examination procedures (35 U.S.C. 371(f)).

1. A copy of the International Application as filed (35 U.S.C. 371(c)(2)):

|    |
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| XX |
|    |
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|    |

is transmitted herewith.

is not required as the application was filed with the U.S. Receiving Office.

has been transmitted by the International Bureau.

has been transmitted by applicant on ---.

**Express Mail Certification:** I hereby certify that this correspondence is today being deposited with the U.S. Postal Service as "Express Mail Post Office to Addressee" Mailing Label Number EL572277018US in an envelope addressed to: Box PCT, Commissioner of Patents and Trademarks, Washington, DC 20231.

July 10, 2000

*Mary M. Krinsky*  
Mary M. Krinsky

2. The U.S. National Fee (35 U.S.C. 371(C)(1)) and other fees (37 CFR) are indicated below:

| Claims Fees   |   |         |                              |
|---|---|---------|------------------------------|
| Claims Fee – Number Filed   | No. Extra   | Rate    | Calculation                  |
| Total Claims*<br>20 minus 20  | = 0   | @ 18    | 00.00                        |
| Independent<br>Claims: 3 minus 3  | = 0   | @       | 00.00                        |
| Multiple Dependent Claims<br>(if applicable)  | = 0   | @ \$260 | 0.00                         |
| Basic Fee – The International Search<br>Fee, as set forth in Section 1.445(a)(2)<br>to be paid to the US PTO acting as an<br>International Searching Authority: | Has been paid (37 CFR 1.492(a)(2)<br>..... @\$690   |         | 00.00                        |
|   | Has not been paid (37 CFR<br>(1.492(a)(3) ..... @\$970  |         | 970.00                       |
|   | Where a search report on the inter-<br>national has been prepared by EPO<br>or JOP ..... @\$910 |         | 00.00                        |
| Total of above Calculations   |   |         | \$970.00                     |
| Small Entity - Reduction by half for filing by a Small Entity   |   |         | \$485.00                     |
| Subtotal  |   |         | \$485.00                     |
| Total National Fee  |   |         | \$485.00                     |
| Recording Assignment fee  |   |         | 00.00                        |
| TOTAL   |   |         | Total Fees Enclosed \$485.00 |

\* See attached Preliminary Amendment.

**Authorization to Charge Fees.** A fee transmittal and check are enclosed herewith. The Commissioner is hereby authorized to charge any additional fees by this paper and during the entire pendency of this Application to Account No. 50-0212.

3. A translation of the International Application into the English language (35 U.S.C. 371(C)(2)):

|    |  |
|----|--|
|    | is transmitted herewith.                                 |
| XX | is not required as the application was filed in English. |
|    | was previously transmitted by applicant on ---.          |

4. Amendments to claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)):

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☐ are transmitted herewith.

☒ have not been transmitted, as

☐ no notification has been received that the International Search Authority has received the Search Copy.

☐ the Search Copy was received by the International Searching Authority, but the Search Report has not yet been issued.

☒ applicants chose not to make amendments under PCT Article 19. The date of mailing of the Search Report (from form PCT/ISA/210) is 1 June 1999.

5. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)):

☐ is transmitted herewith.

☒ is not required as the application was filed in English.

☒ has not been transmitted for reasons indicated at point 5 above.

6. An oath or declaration of the inventor [35 U.S.C. 371 (c)(4)] complying with 35 U.S.C. 115.

☐ was previously submitted by applicant on ---.

☒ is attached to the application.

☐ identifies the application and any amendments under PCT Article 19 which were transmitted as stated in points 3.b. or c. and 5.b; and states that they were reviewed by the inventor as required by 37 CFR 1.70.

☐ will follow.

7. An International Search Report or Declaration under PCT Article 17(2)(a):

☒ is transmitted herewith.

☒ has been transmitted by the International Bureau. The date of mailing (from form PCT/ISA/220) is 1 June 1999.

8. An Information Disclosure Statement under 37 CFR 1.97 and 1.98:

☒ is transmitted herewith, PTO/SB/08A and 08B (2 pages).

☐ will be transmitted within three months of the date of submission of requirements under 35 U.S.C. 371(c).

☐ Also transmitted herewith is/are:

☒ copies of citations listed (67 pages total, many double-sided).

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9. Additional documents:

|    |
|----|
| XX |
| XX |

Copy of Request (PCT/RO/101) and Chapter II Demand (PCT/IPEA/401).  
Copy of the International Preliminary Examination Report (PCT/IPEA/409) and  
Written Opinion (PCT/IPEA/408).

|    |
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| XX |
| XX |
| XX |

Preliminary Amendment (37 CFR § 1.121).  
Small Entity Statement.  
Other: Fee Transmittal and check for the filing fee.

Respectfully submitted,

10 July 2000

*Mary M. Krinsky*

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Mary M. Krinsky, Registration No. 32,423  
Attorney for Applicants  
79 Trumbull Street  
New Haven, CT 06511-3708  
203-773-9544

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 485.00

### Complete if Known

|                      |                                    |
|----------------------|------------------------------------|
| Application Number   | PCT/GB99/00070 US nat. phase entry |
| Filing Date          | 8 Jan. 1999 (internat.)            |
| First Named Inventor | N.A. Williams                      |
| Examiner Name        |                                    |
| Group / Art Unit     |                                    |
| Attorney Docket No.  | CTH-03                             |

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 50-0212

Deposit Account Name Mary M. Krinsky

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 760                    | 201 380                    | Utility filing fee     | \$485    |
| 106 310                    | 206 155                    | Design filing fee      |          |
| 107 480                    | 207 240                    | Plant filing fee       |          |
| 108 760                    | 208 380                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

SUBTOTAL (1) (\$) 485

#### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 20                 | 20** = 0     | X              | 0        |
| 3                  | 3** = 0      | X              | 0        |
| Multiple Dependent |              |                |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 78                     | 202 39                     | Independent claims in excess of 3                          |
| 104 260                    | 204 130                    | Multiple dependent claim, if not paid                      |
| 109 78                     | 209 39                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |          |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for reexamination                                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 380                    | 216 190                    | Extension for reply within second month                                    |          |
| 117 870                    | 217 435                    | Extension for reply within third month                                     |          |
| 118 1,360                  | 218 680                    | Extension for reply within fourth month                                    |          |
| 128 1,850                  | 228 925                    | Extension for reply within fifth month                                     |          |
| 119 300                    | 219 150                    | Notice of Appeal   |          |
| 120 300                    | 220 150                    | Filing a brief in support of an appeal                                     |          |
| 121 260                    | 221 130                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,210                  | 241 605                    | Petition to revive - unintentional   |          |
| 142 1,210                  | 242 605                    | Utility issue fee (or reissue)   |          |
| 143 430                    | 243 215                    | Design issue fee   |          |
| 144 580                    | 244 290                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Petitions related to provisional applications                              |          |
| 126 240                    | 126 240                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) |          |
| 146 760                    | 246 380                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 760                    | 249 380                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

### SUBMITTED BY

|                   |                 |                                   |              |                          |
|-------------------|-----------------|-----------------------------------|--------------|--------------------------|
| Name (Print/Type) | Mary M. Krinsky | Registration No. (Attorney/Agent) | 32423        | Complete (if applicable) |
| Signature         | Mary M. Krinsky | Telephone                         | 203-773-9544 | Date                     |
|                   |                 |                                   |              | 10 July 2000             |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

Applicants: Neil A. Williams, Timothy R. Hirst, and John Bienenstock

Filing Date: 10 July, 2000

For: AGENT FOR TREATING ALLERGIC OR HYPERSENSITIVITY CONDITION

**Verified Statement (Declaration) Claiming Small Entity  
Status (37 CFR §§ 1.9(f) and 1.27(d) -- Nonprofit Organization)**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization, University of Bristol, Bristol BS8 1TD, UK.

Type of Organization: University or other institution of higher education.

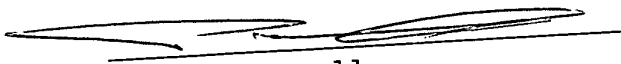
I hereby declare that the University identified above qualifies as a nonprofit organization as defined in 37 CFR §§ 1.9 (e) and (f) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled: **AGENT FOR TREATING ALLERGIC OR HYPERSENSITIVITY CONDITION** by inventors Neil A. Williams, Timothy R. Hirst, and John Bienenstock, described in the specification filed herewith, as the University of Bristol would qualify as a nonprofit scientific or educational organization under the statute if located in the United States.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of person signing:  
Title in organization:  
Address of person signing:

  
Peter Maxwell  
Acting Director  
Research Ventures Group  
University of Bristol  
Senate House, Tyndall Avenue  
Clinton, Bristol BS8 1TH, UK

Date: 20 June, 2000